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NCHSR

PROGRAM SOLICITATION

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**Grants
for Health Services
Dissertation Research
1988**

UNIVERSITY OF ILLINOIS
AT URBANA-CHAMPAIGN

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service
National Center for Health Services Research
and Health Care Technology Assessment

Notice

- An application for 1988 award must be received on or before Monday, February 1, 1988. Funding decisions will be made and announced about five months after the submission deadline.
- After this deadline a new cycle for 1989 awards may be announced, depending upon the availability of funds. Information may be obtained from the address below.
- Submissions must conform to the instructions for the dissertation research grant application in this solicitation and in the dissertation grant application kit, available upon request.
- The applicant must submit the original and 6 copies of the complete application, including a detailed narrative description of the project.
- This material must be sent directly to NCHSR at the address below. An application sent to any other address is likely to encounter a delay substantial enough to preclude its review.
- The application must be sent to:
Chief, Review and Advisory Services (Dissertations)
National Center for Health Services Research and Health Care
Technology Assessment
5600 Fishers Lane, Room 18A-20
Rockville, MD 20857;
301/443-3091

November 1987

Catalog of Federal Domestic Assistance (CFDA) No. 13.226, Health Services Research and Development Grants. The review requirements of Executive Order 12372 are not applicable to NCHSR grant programs.

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Introduc

In keeping with the research and development services, the Health Care Technology Support will be in conjunction with the

This support of health services of academic health services and

Grants totaling \$20,000 in the Department of Health Services, Part 67, Section 1

Awards are expected to be

Studies

Only applications for Section 30 and Section 30

- Accessibility of health technology systems
- Supply of health services, organization, and management
- Design, development, and equipment

- Role of market forces in the health care system and their part in restraining cost increases and improving the availability and quality of care
- Safety, efficacy, effectiveness, cost effectiveness, economic, and social impacts of health care technologies.

Current NCHSR priorities are: (1) primary care/health promotion and disease prevention, (2) technology assessment, (3) the role of market forces in health care delivery, (4) studies relevant to the unique operational and policy issues faced by State and local governments, (5) the delivery of health services in rural areas, (6) regional variations in patterns of medical practice and patient outcome analysis, and (7) the costs of caring for patients with Acquired Immune Deficiency Syndrome (AIDS).

and timely delivery of health services and Health Care Technology Support that grant support is undertaken in conjunction with the

development of new health services from a variety of complex health

There are no more than 100 grants will be administered under Part 42, Chapter 1, of the Illinois Health Services Act.

The NCHSR expects to complete its studies in 1988.

as identified in the study for support. The study subjects:

• Access to health services and health care services and

quality, utilization, and

facilities and

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Introduct

In keeping with its efforts to stimulate innovative and timely research on significant issues associated with the delivery of health services, the National Center for Health Services Research and Health Care Technology Assessment (NCHSR) announces that grant support will be available in 1988 for research to be undertaken in conjunction with the preparation of a doctoral dissertation.

This support is designed to aid the career development of new health services researchers, and to encourage individuals from a variety of academic disciplines and programs to study complex health services delivery problems.

Grants to support dissertation research will provide no more than \$20,000 in total direct costs. Dissertation research grants will be administered in accordance with the provisions of Title 42, Chapter 1, Part 67, Subpart A, of the *Code of Federal Regulations*.

Awards will depend upon the availability of funding. NCHSR expects to fund about 10-20 dissertation research projects in 1988.

Studies eligible for support

Only applications which propose studies in the areas identified in Section 305 of the Public Health Service Act are eligible for support. Section 305 authorizes research in the following subjects:

- Accessibility, acceptability, planning, organization, distribution, technology, utilization, quality, and financing of health services and systems
- Supply and distribution, education and training, quality, utilization, organization, and costs of health manpower
- Design, utilization, organization, and costs of facilities and equipment
- Role of market forces in the health care system and their part in restraining cost increases and improving the availability and quality of care
- Safety, efficacy, effectiveness, cost effectiveness, economic, and social impacts of health care technologies.

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Research topics which cannot be considered by NCHSR include, for example, biomedical research or some aspects of behavioral or educational research. Applicants are encouraged to discuss the suitability of their research topics with Mr. John Gallicchio, Chief, Review and Advisory Services Program, by telephone at 301/443-3091 or by letter if time allows. (See address on page 2, above.)

Eligibility

A student is eligible to apply for a dissertation research grant if enrolled in an accredited doctoral degree program in the social, management, medical, or health sciences, and conducting or intending to conduct dissertation research on the organization, delivery, financing, or quality of health care services. All requirements for the doctoral degree other than the dissertation must be completed before the grant award is made (see "Letter of approval," under "Application requirements").

The proposed principal investigator must be a registered doctoral candidate in resident or nonresident status.

The applicant may be either the institution which is to administer the grant on behalf of the proposed principal investigator, or the proposed principal investigator applying as an individual applicant. Whenever feasible, the proposed principal investigator is encouraged to have the application administered through an institution, which may be either the degree-granting institution or another nonprofit institution with which the proposed principal investigator is professionally affiliated. In determining which type of institutional applicant is more appropriate, the student needs to consider the extent to which the resources of the designated institution are capable of supporting the research effort proposed.

A proposed principal investigator for dissertation research grant support need not be a citizen of the United States. However, an investigator who is not a citizen and does not have a permanent resident visa must apply through an institution.

An application from a student enrolled in a foreign institution will be accepted provided that the application is in the English language and the investigator applies through an institution. All reports required as a condition of the award (the grantee's dissertation and financial status reports) must be submitted in the English language.

Scope of awards

The budget of an application for a dissertation research grant must not exceed \$20,000 in total direct costs for the entire project period. A proposal that does not meet this requirement will be returned.

The application should request support for the amount of time necessary to complete the dissertation. The dissertation research grant usually is awarded for a period of 12 months or less, but may be up to 17 months. Investigators who need 18 or more months to complete the research project will be required to submit a continuation application for support beyond the first 12 months. Continuation support may be awarded if satisfactory progress is being made, but the total direct costs of the entire project may not exceed \$20,000.

An investigator who receives support for dissertation research under a grant from NCHSR may not at the same time receive support under a predoctoral or fellowship grant awarded by any agency of the U.S. Department of Health and Human Services.

Allowable costs

Expenses usually allowed under Public Health Service research grants will be covered by dissertation research grants. Allowable costs include the investigator's salary; direct project expenses such as travel, data processing, and supplies; and, for institutional applicants only, indirect costs.

For the purpose of calculating indirect costs, dissertation research grants are considered to be training grants. Therefore, in accordance with PHS policy, indirect costs are limited to 8 percent of total direct costs.

The salary of the investigator should not exceed the maximum allowable stipend for predoctoral students supported by National Research Service Awards of the Public Health Service. During fiscal year 1987 this was \$6,552 on an annualized full-time basis. Any higher salary or any level of effort that is less than full time must be fully justified.

Application requirements

(1) **Application form.** Health services dissertation research grant application materials and detailed instructions are available from the address on page 2.

(2) **Closing date.** Applications must be received by Monday, February 1, 1988.

(3) **Copies required.** The applicant must submit the original and 6 copies of the complete application form PHS-398, which includes a detailed narrative project description. The application must be prepared in conformity with the dissertation research grant application instructions and this solicitation. Application materials must be sent directly to NCHSR at the address shown on page 2.

(4) **Letter of approval.** A letter from the faculty committee or university official directly responsible for supervising the development and progress of the dissertation research must be submitted with the application. The letter must (a) identify the members of the committee and note their approval of the dissertation research, (b) state that all requirements for the doctoral degree except the dissertation will have been completed by the time of the grant award, and (c) note that the university official or faculty committee expects the doctoral candidate to proceed with the approved project proposal with or without NCHSR support.

(5) **Conformity.** A proposal which does not conform to instructions will be returned. The information in the required narrative project description must be presented in a form suitable for detailed scientific and technical review.

(6) **Resubmission.** Applicants should not revise rejected applications and resubmit them without the concurrence of the Chief, Review and Advisory Services. Resubmissions are seldom funded.

Application review process

Dissertation research grant applications will be reviewed by non-Federal experts, senior NCHSR staff members, and other experts in the Federal service. Reviewers will be selected on the basis of their health services research accomplishments and knowledge, and their experience in research career development. Because reviews are rigorous, considerable detail is important in the application.

All elements of the application will be considered in the review process. Primary emphasis will be given to the scientific merit and feasibility of the project and its particular relevance to NCHSR research priorities noted above.

Review criteria

Problem significance

- The project is focused primarily on a significant problem in the delivery of health care.
- The anticipated methodology or results of the project have national interest, provide a basis for generalized conclusions, or have practical applicability.

Research design

- The problem to be addressed by the research is clearly defined.
- The proposal reflects an adequate knowledge of other research related to the problem.

- Questions to be answered or hypotheses to be tested are well formulated and clearly stated.
- The proposal (1) fully describes the methodological procedure to be followed; (2) where applicable, discusses sampling procedures, the size of the population to be studied and the size of the sample and control groups; and (3) describes the types and sources of data to be gathered, methodological problems expected to be encountered, and specific analyses to be made.
- The proposal adequately describes the plans for managing the project, including a tentative schedule for the main steps of the investigation within the project period requested.

Personnel and facilities

- The applicant shows promise as a health services research investigator.
- The experience and training of the applicant are sufficient to carry out the research.
- The facilities and organizational arrangements available are appropriate.
- Faculty advice and support are suitable.

Appropriateness of the budget

- The allocation of time and money reflects an understanding of the research tasks to be accomplished and of the problems which are likely to arise.
- Where appropriate and feasible, the suggested approach uses data already available or being collected through government and other sources.

Reviewers may recommend that an application be approved, disapproved, or approved with specific modifications. In addition, reviewers give their individual views of the significance of each project. Final funding decisions are based on the recommendations of the reviewers, the relevance of the project to program priorities, and the availability of appropriated funds. Funding of a project may be made conditional on the investigator's acceptance of recommended changes.

Review of projects for continuation support

An applicant who is funded for a project requiring 18 or more months of effort must submit a continuation application with a progress report 10 months after the study begins. Decisions concerning support beyond 12 months are based on the availability of appropriated funds and on evidence of acceptable progress.

Grant conditions

Work on an approved project may begin approximately one month after the notification of award. The project must be initiated within nine months following the date of award.

A grantee who discontinues a project during the grant period must inform NCHSR immediately in writing. The grant for a discontinued project may be suspended or terminated.

The dissertation will constitute the final report of the grant. Three copies of the dissertation are required to be submitted. The dissertation must be officially accepted by the faculty committee or university official responsible for the candidate's dissertation and must be signed by the responsible officials.

The dissertation and all financial status reports must be submitted in the English language.

Information concerning other conditions applicable to a dissertation research grant is contained in the regulations under Title 42, Chapter 1, Part 67, Subpart A, of the *Code of Federal Regulations*. A copy of these regulations and the dissertation research grant application instructions will be included among the application materials sent to each applicant.

DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service
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and Health Care Technology Assessment
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